



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Peter R. Horsfall

Application No.: 09/942,426

Group Art Unit: N/A

Filed: August 29, 2001

Examiner: Not Yet Assigned

For: ELECTRONIC TRADING SYSTEMRESPONSE TO REQUEST FOR SUBSTITUTE PAPERS

**BOX DUPLICATE OIPE**  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202-2327

Dear Sir:

In response to the Request for Substitute Papers dated March 18, 2002, attached please find a copy of the papers filed on January 31, 2002.

The Examiner is respectfully requested to withdraw the outstanding rejection of the claims and to pass this application to issue.

Dated: May 20, 2002

Respectfully submitted,

By Edward A. Meilman  
Edward A. Meilman  
Registration No.: 24,735  
DICKSTEIN SHAPIRO MORIN &  
OSHINSKY LLP  
1177 Avenue of the Americas  
41st Floor  
New York, New York 10036-2714  
(212) 835-1400  
Attorneys for Applicant



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
09/942,426	08/29/2001	Horsfall, Peter	P/692-152

2352  
 OSTROLENK FABER GERB  
 & SOFFEN  
 1180 AVENUE OF THE  
 AMERICAS  
 NEW YORK NY 10036-8403

P/3879-30

OFGS FILE NO	P/692-152
TRANSFERS	
PATENTS ORDERED US	

MAR 23 2002

Title: Electronic trading system

Date Mailed: 03/18/2002

## Request for Substitute Papers

The papers filed on 01/31/02 are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated **703-746-4060(OIPE)**.

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within **two (2) weeks** of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. **A copy of this notice should be included with the reply.**

DSMO FILE NO. E3879.0040

DUE: \_\_\_\_\_

The enclosed papers are a complete and accurate copy of the above-identified papers.

C/L: \_\_\_\_\_

Name: EDWARD A. MEILMAN Registration No.: 24,735ENTERED BY: HMATTY: SLW

Signature: Edward S. Melvin Date: 5/17/02

Please type a plus sign inside this box +

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

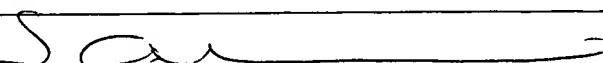
*(to be used for all correspondence after initial filing)*

		Application Number	09/942,426
		Filing Date	August 29, 2001
		First Named Inventor	Peter Richard Horsfall
		Group Art Unit	
		Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission		Attorney Docket Number	P/3879-30

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers w/Recordation Cover Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Combined Declaration and Power of Attorney	<input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below)</i>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<b>Copy of NFMP, Change of Address Form</b>
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	<b>Remarks</b>	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP Steven I. Weisburd (27,409)
Signature	
Date	January 31, 2002

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 440.00)

## Complete if Known

Application Number	09/942,426
Filing Date	August 29, 2001
First Named Inventor	Peter Richard Horsfall
Examiner Name	Not Yet Assigned
Group Art Unit	

Attorney Docket No. P/3879-30

## METHOD OF PAYMENT

## FEE CALCULATION (continued)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 04-1073

Deposit Account Name Dickstein Shapiro Morin &amp; Oshinsky LLP

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed

Check  Credit Card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1) (\$)				0.00	

## 2. EXTRA CLAIM FEES

Total Claims	-20** =	Extra Claims	Fee from below	Fee Paid
Independent Claims	-3** =			
Multiple Dependent				

## Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)				0.00

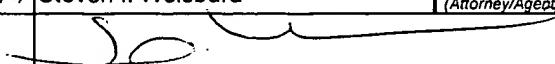
\*\* or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath
127	50	227	25 Surcharge - late provisional filing fee or cover sheet.
139	130	139	130 Non-English specification
147	2,520	147	2,520 For filing a request for ex parte reexamination
112	920*	112	920* Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action
115	110	215	55 Extension for reply within first month
116	400	216	200 Extension for reply within second month
117	920	217	460 Extension for reply within third month
118	1,440	218	720 Extension for reply within fourth month
128	1,960	228	980 Extension for reply within fifth month
119	320	219	160 Notice of Appeal
120	320	220	160 Filing a brief in support of an appeal
121	280	221	140 Request for oral hearing
138	1,510	138	1,510 Petition to institute a public use proceeding
140	110	240	55 Petition to revive - unavoidable
141	1,280	241	640 Petition to revive - unintentional
142	1,280	242	640 Utility issue fee (or reissue)
143	460	243	230 Design issue fee
144	620	244	310 Plant issue fee
122	130	122	130 Petitions to the Commissioner
123	50	123	50 Processing fee under 37 CFR 1.17(q)
126	180	126	180 Submission of Information Disclosure Stmt
581	40	581	40 Recording each patent assignment per property (times number of properties)
146	740	246	370 Filing a submission after final rejection (37 CFR 1.129(a))
149	740	249	370 For each additional invention to be examined (37 CFR 1.129(b))
179	740	279	370 Request for Continued Examination (RCE)
169	900	169	900 Request for expedited examination of a design application
Other fee (specify)			
*Reduced by Basic Filing Fee Paid			
SUBTOTAL (3) (\$)			
570.00			

## SUBMITTED BY

## Complete (if applicable)

Name (print/type)	Steven I. Weisburd	Registration No. (Attorney/Agent)	27,409	Telephone	(202) 785-9700
Signature				Date	January 31, 2002

#3

Docket No.: P/3879-30  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re Patent Application of:  
Peter Richard Horsfall

Application No.: 09/942,426

Group Art Unit:

Filed: August 29, 2001

Examiner: Not Yet Assigned

For: ELECTRONIC TRADING SYSTEM

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**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

**Box Missing Parts**  
Commissioner for Patents  
Washington, DC 20231

Dear Sir:

In response to the Notice to File Missing Parts of Application – Filing Date Granted mailed October 2, 2001, Applicant respectfully submits a Combined Declaration and Power of Attorney, an Assignment and a Petition for Extension of Time.

Our check for the fee set forth in 37 CFR 1.16(e) is enclosed along with the Assignment Recordation and Extension fees. The Commissioner is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed

herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 04-1073, under Order No. P/3879-30. A duplicate copy of this paper is enclosed.

Dated: January 31, 2002

Respectfully submitted,

By 

Steven I. Weisburd

Registration No.: 27,409

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